

UNITED STATES DEPARTMENT OF AGRICULTURE  
FOOD SAFETY AND INSPECTION SERVICE  
WASHINGTON, DC

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<b>FSIS PHIS DIRECTIVE</b>	9900.1	5/25/12
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**IMPORTED PRODUCT SHIPMENT PRESENTATION**

**DO NOT IMPLEMENT THIS DIRECTIVE UNTIL MAY 29, 2012.**

**CHAPTER I – GENERAL**

**I. PURPOSE**

This directive provides the instructions import inspection personnel are to follow when conducting reinspection of meat, poultry or egg products shipments presented for import reinspection. Additionally, this directive incorporates instructions related to the Public Health Information System (PHIS).

*KEY POINTS:*

- *How to perform document review for shipments of imported meat, poultry, and egg products.*
- *How to verify proper presentation of shipments of imported meat, poultry, and egg products.*
- *How types of inspections are assigned for shipments of imported meat, poultry, and egg products.*

**II. [RESERVED]**

**III. [RESERVED]**

**IV. REFERENCES**

9 CFR parts 327, 381 subpart T and 590

FSIS PHIS Directive 9900.2 Import Reinspection of Meat, Poultry, and Egg Products

FSIS PHIS Directive 9900.5 Label Verification of Imported of Meat, Poultry, and Egg Products

FSIS PHIS Directive 9900.6 Laboratory Sampling Program for Imported Meat, Poultry, and Egg Products

FSIS PHIS Directive 9900.8 Meat, Poultry, Egg Products, and Shell Eggs Refused Entry into the United States

FSIS Directive 9600.1 Illegally Imported or Smuggled Products and Reporting in the Import Alert Tracking System

FSIS Directive 7530.1 Handling a Process Deviation or Abnormal Container of Thermally Processed, Commercially Sterile Canned Product

The PHIS User Guide is available via the FSIS Intranet on the PHIS page under Resources

## **V. BACKGROUND**

Import inspection personnel conduct reinspection of all FSIS amenable meat, poultry, and egg products imported into the United States for commercial distribution as human food.

## **CHAPTER II –CERTIFICATION**

### **I. INSPECTION CERTIFICATES (9 CFR 327.4, 381.197, and 590.915)**

A. Import inspection personnel are to verify that each lot is accompanied by the proper certification. Inspection certification data may be submitted either electronically government to government (eCert) into the Public Health Information System (PHIS) or with a paper inspection certificate (non-eCert).

B. Non-eCert countries: Verify that the inspection certificate:

1. Is complete, accurate, and legible;
2. Does not have any item descriptions in number 5 below erased, altered, or changed by any other means;
3. Clearly identifies which product belongs to which establishment if products from multiple establishments are on a single certificate;
4. Must be in English; and
5. Paper and electronic certificates must contain the following:
  - a. Name of country exporting the product;
  - b. City and date where issued;
  - c. Name and address of exporter/consignor;
  - d. Name and address of consignee/importer;
  - e. Exporting establishment number;
  - f. Name and address of producing foreign establishment;
  - g. Producing foreign establishment number;

- h. Kind of Product;
- i. Species of product;
- j. Number of containers or units;
- k. Net weight;
- l. Production dates;
- m. Shipping marks (identification marks) on containers;
- n. Source country of origin where the product was sourced from, if the product was sourced from a country other than the exporting country;
- o. Source establishment number where the product was sourced from if the product was sourced from an establishment not located in the exporting country;
- p. Process Category, product category, and product group;
- q. Product Description; and
- r. Name (including signature) and title of person authorized to issue inspection certificates for products exported to the United States.

C. eCert Countries. Import inspection personnel are to review the FSIS Form 9540-1, Import Inspection Application, for completeness. Import inspection personnel that have reason to question the accuracy of the data on the application may request a copy of the inspection certificate through their supervisor.

**NOTE:** In some instances, the consignee information on the inspection certificate may differ from the consignee on the application.

#### D. Additional Certifications.

Pasteurized Egg Products- Import inspection personnel are to verify, in addition to the above requirements, that bulk packed shipments (tanker/tote shipments) of pasteurized egg products have foreign government documentation attesting to negative laboratory results for *Salmonella*.

E. When they observe errors or omissions with the certification, the import inspection personnel are to enter the Certification Type of Inspection (TOI) as "Fail" in PHIS for the specific lot. PHIS will refuse entry to the lot. PHIS will also send an email to the applicant of the refused entry. Import inspection personnel are to ask the applicant if it intends to take corrective action (rectify) on the lot or allow the lot to remain refused entry. Import inspection personnel are to follow FSIS PHIS Directive 9900.8 Meat, Poultry, Egg Products and Shell Eggs Refused Entry into the United States and refuse to the entry product.

## F. Replacement Certification:

1. eCert - When they find that the electronic data certification is incorrect, and the applicant wants to replace the certification, import inspection personnel are to notify the Regional Import Field Office (RIFO) who in turn will submit to IID HQ a request for replacement of the electronic certification. When the foreign government issues the replacement certification, the RIFO is to notify the import inspection personnel of this fact.
2. Inspection certificates may be provided to the foreign inspection agency or the foreign country's embassy upon request.
  - a. The requests are to be on the official letter head of the foreign inspection agency or embassy.
  - b. Import inspection personnel are to maintain a copy of the inspection certificate in the case file, along with a notation as to whom the original was given.

## CHAPTER III - LOT TRACKING

### I. FAILURE TO PRESENT (FTP)

A. A FTP occurs when amenable products produced by a foreign establishment and properly certified by the foreign government are delivered into commerce, further processed, placed into storage, or otherwise distributed to the consumer without the benefit of FSIS import reinspection as required.

B. Import inspection personnel are to monitor incoming shipments using the "Pre-Arrival" menu of PHIS.

C. When a shipment has not arrived by the estimated date of arrival (EDA), import inspection personnel are to access the Lot Tracking menu through the Lot Manager screen and select "Send FTP Warning." PHIS sends an email notification to the applicant requesting a status update on the shipment. The expectation is that the shipment status update will be received within the workday, provided the notification is sent early enough in the workday. The response from the applicant may come to import inspection personnel through the official import inspection establishment management.

D. Based on the applicant's response or lack thereof to the FTP warning, import inspection personnel are to:

1. If the applicant responds that the shipment is at the designated official import inspection establishment, verify the shipment's presence, access the Lot Tracking menu through the Lot Manager screen, and change the status to "On Premises." If the location cannot be confirmed, access the Lot Tracking menu through the Lot Manager screen and select Issue FTP.
2. If the applicant responds that the shipment has been delayed, import inspection

personnel are to ask for a revised EDA, and access PHIS and find the shipment on the Pre-Arrival Shipments screen. Import inspection personnel are to access the Lot Manager screen for Lot 1 of the application and select Edit Application. When the Application tab opens, they are to revise the EDA, click Save and Continue, select the Submit tab, and select Submit. This process will amend the EDA for each lot on the application.

3. If the applicant does not respond with a revised EDA, or responds and indicates that the shipment by-passed FSIS import reinspection, import inspection personnel are to access each lot on the application that is affected, through the Lot Tracking menu and the Lot Manager screen, and select "Issue a FTP" for each affected lot.

E. Notifications to the RIFO and Import Inspection Division headquarters (IID HQ): Import inspection personnel are to:

1. Notify the RIFO and IID HQ by email. Notify IID HQ at [importinspection@fsis.usda.gov](mailto:importinspection@fsis.usda.gov).
2. Using the View Application function in PHIS, import inspection personnel are to save a scanned copy of the application to their computer's hard drive and attach the application to the email notifications. They are to include on the email subject line the FTP, date, and official import inspection establishment number. Import inspection personnel are to attach a copy of the e-mail to the case file and give hard copy to the import establishment management.

F. Regional Import Field Supervisors are to:

1. Assign an Import Surveillance Liaison Officer (ISLO) to any identified FTP and monitor surveillance activities.
2. Ensure FTP notifications are submitted to IID HQ by the import inspector.
3. Request any necessary assistance from other RIFOs or other FSIS program areas in controlling FTP shipments.
4. Update IID HQ on FTP shipment information as necessary.

G. Import Surveillance Liaison Officers are to:

1. Investigate all assigned FTPs.
2. Document FTP information via an Import Alert as outlined in FSIS Directive 9600.1.
3. Follow-up on any Redelivery Notices issued from IID HQ with Customs and Border Protection.
4. Liaison with brokers, distributors, or any other applicable party to ensure that FSIS procedures are understood and followed.

H. IID HQ personnel are to:

1. Review incoming information for accuracy.
2. Verify that the RIFO and ISLO were notified of the FTP shipment.
3. Present case files to the IID Director for a determination of whether or not to initiate a request for redelivery through the Customs and Border Protection.

## **II. RECEIVE LOTS/DRAW ASSIGNMENTS**

A. Canadian product: When import inspection personnel are notified by import establishment management that a shipment has arrived, import inspection personnel are to access the PHIS, retrieve the lot, access the Lot Manager screen, select Receive Lot from the lot event drop-down menu (which will simultaneously Draw Assignments), and then proceed with verification of the lots. If correction of an entry in PHIS is needed, import inspection personnel are to request corrected documents and access PHIS to make the needed corrections. When they have made the corrections, import inspection personnel are to access the Lot Manager screen, select Draw Assignments from the lot event drop-down menu, select a reason for drawing the assignments again, and then proceed with reinspection of the lots based on the revised assignment.

B. Other country product: When import inspection personnel are notified by import establishment management that a lot is staged and ready for reinspection, import inspection personnel are to perform the Certification TOI on the lot prior to accessing the PHIS and retrieving the lot information. After performing the Certification TOI, if correction of an entry is needed in PHIS, import inspection personnel are to request corrected documents and access PHIS to make the needed corrections. When they made the corrections, import inspection personnel are to access the Lot Manager screen, select "Receive Lot" from the lot event drop-down menu (which will simultaneously "Draw Assignments"), and then proceed with reinspection of the lots.

## **CHAPTER IV - SHIPMENT STAGING AND LOT VERIFICATION (9 CFR 327.6, 381.199, and 590.925)**

### **I. PRESENTATION**

A. Import inspection personnel are to ensure that each lot of imported product is presented by the import inspection establishment in a manner that:

1. Ensures the safety of import inspection personnel;
2. Provides adequate space to select samples and perform verification activities;
3. Ensures that each shipping unit has an equal chance of being selected as a sample.

B. For Canadian Shipments, import inspection personnel are to perform verification on one shipping unit from each lot on the inspection certificate assigned only a Certification and

Label Verification TOI. The verification (e.g., compliance with application, foreign inspection certificate, and accurate labeling) is to be performed at the rear of the open shipping conveyance backed into the unloading dock at the official import inspection establishment. Lots that receive more TOIs than just Certification and Label Verification are to be staged in an approved staging area in the official import inspection establishment for reinspection.

C. Palletized, consumer packaged (including food service—hotel, restaurant or institution (HRI)), fully marked and labeled products may be presented with the shipping mark and shipping container label applied to the outside of the pallet, rather than to individual tray packs or cartons. When products are presented packaged in this manner, import inspection personnel are to verify that:

1. Only one type and size of product is presented on a pallet;

**NOTE:** For Canadian shipments, different sized boxes of the same product may be presented on the same pallet when the pallets in the lot will be split for distribution to specific end users.

2. Fully marked and labeled packaged products are placed on pallets, contained, and secured sufficiently to allow efficient handling during sample selection. The pallet is considered a shipping carton;
3. One main shipping label is present with sufficient space to apply the U.S. import mark of inspection (Exception: Product from Canada is not stamped with the import stamp); and
4. The inspection certificate identifies all the retail package production codes present (such as date codes imprinted on the can or package) in the shipment.

D. Import inspection personnel are to perform the Certification and Label Verification TOI (e.g., compliance with application, foreign inspection certificate, and accurate labeling) on all lots presented. For lots that receive more TOIs than just Certification and Label Verification, import inspection personnel are to perform all assigned TOIs as identified on the PHIS Lot Manager screen.

E. All pending Types of Inspection must have been performed, and the results found satisfactory, to complete the lot in the PHIS. After all TOIs are marked as “Complete” and recorded in the PHIS the lot will be released as “U.S. Inspected and Passed.” Import inspection personnel are to verify that the products or placard are stamped U.S. Inspected and Passed.

F. If a product fails a TOI, or the lot (entire or portion) is refused entry for other than a TOI, the PHIS will refuse entry on the lot or portion of a lot. Import inspection personnel are to follow the refused entry procedures outlined in FSIS Directive 9900.8 for disposition of the lot.

## **CHAPTER V – UNSCHEDULED AND NOT PERFORMED TOIs**

### **I. UNSCHEDULED TOI**

When import inspection personnel identify a situation that warrants an applicable

unscheduled TOI, they are to refer to FSIS PHIS Directive 9900.2, Annex 3, to determine whether the TOI is applicable for the product. If it is applicable, the import inspector is to add the unscheduled TOI and document the reason. If the TOI is not applicable, the import inspector is not to add the unscheduled TOI.

## **II. TOI NOT PERFORMED REQUEST**

When import inspection personnel identify a TOI that can not be performed on a shipment, they are not to perform the TOI and identify, from the drop down menu, the reason for not performing the TOI.

## **CHAPTER VI - DATA ANALYSIS**

The Data Analysis and Integration Group (DAIG) within the Office of Data Integration and Food Defense (ODIFP) is to review and analyze import inspection information on a quarterly basis, starting 90 days after full implementation of Import PHIS. Data from each the following five areas will be considered: Application and Inspection Certificate Information, Lot Tracking Information, Shipment Staging and Lot Verification Data, Assignment Information, Unscheduled and Not-Performed TOI Information. DAIG will review these analyses with the Office of International Affairs (OIA) and the Office of Policy and Program Development to assess whether the findings may inform future improvements in import reinspection procedures or guidance to foreign countries.

Refer questions through supervisory channels or submit questions through *ask FSIS* at <http://askfsis.custhelp.com>.



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